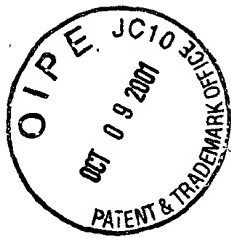


#3



Atty Dkt No. 8325-0014  
Client No. S14-US1

# DECLARATION FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: TARGETED MODIFICATION OF CHROMATIN STRUCTURE the specification of which

   is attached hereto  
  X   was filed on April 27, 2001

and assigned Serial No. 09/844,508.

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge and understand that I am an individual who has a duty to disclose information which is material to the patentability of the claims of this application in accordance with Title 37, Code of Federal Regulations, §§ 1.56(a) and (b) which state:

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated

through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office,  
or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application. This invention was not in public use or on sale in the United States of America more than one year prior to this application. This invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than six months prior to this application.

I hereby claim priority benefits under Title 35, United States Code § 119(e)(1) of any United States provisional application(s) for patent as indicated below and have also identified below any application for patent on this invention having a filing date before that of the application for patent on which priority is claimed:

<u>Application No.</u>	<u>Date of Filing (day/month/year)</u>	<u>Priority Claimed</u>
60/200,590	28 April 2000	Yes <u>X</u> No <u>  </u>
60/228,523	28 August 2000	Yes <u>X</u> No <u>  </u>

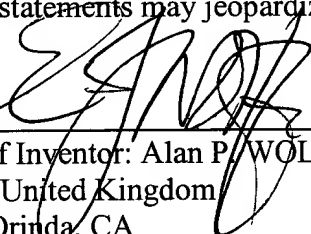
I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below, and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) and (b) set forth above which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.:

Filing Date:

Status (patented, pending, abandoned):

✓  
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signature: 

Date

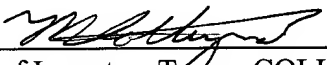
9/17/01

Full Name of Inventor: Alan P. WOLFFE

Citizenship: United Kingdom

Residence: Orinda, CA

Post Office Address: 155 Alice Lane, Orinda, CA 94563

Signature: 

Date

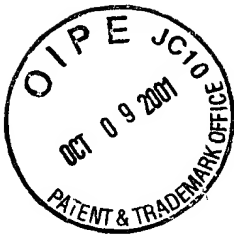
9/17/01

Full Name of Inventor: Trevor COLLINGWOOD

Citizenship: New Zealand

Residence: San Pablo, CA

Post Office Address: 3400 Richmond Parkway, Apt. 3924, San Pablo, CA 94806



Atty Dkt No. 8325-0014  
Client No. S14-US1  
PATENT

#4

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 01 - OCTOBER - 2001.

10/1/01 [Signature]  
Date Signature

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Confirmation No.: 9058

Serial No.: 09/844,508

Group Art Unit: 1645

Filing Date: April 27, 2001

Examiner: Unassigned

Title: TARGETED MODIFICATION OF CHROMATIN STRUCTURE

## POWER OF ATTORNEY BY ASSIGNEE

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

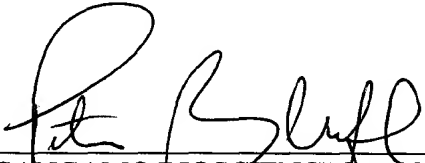
SANGAMO BIOSCIENCES, INC., assignee of the above-identified application by assignment (copy attached), hereby appoints Sean Brennan, Ph.D., Reg. No. 39,917; Roberta L. Robins, Reg. No. 33,208; Dahna S. Pasternak, Reg. No. 41,411; and Gary R. Fabian, Ph.D., Reg. No. 33,875 as its attorneys/agents with full power of substitution to prosecute this application and to transact all business in the Patent and Trademark Office in connection therewith.

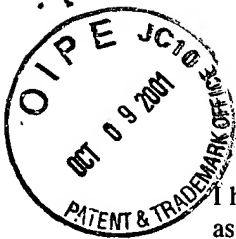
Atty Dkt No. 8325-0014  
USSN: 09/844,508  
PATENT

Please address all further communications to Dahna S. Pasternak at the following  
address:

Customer No. 20855  
ROBINS & ASSOCIATES  
90 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 325-7812  
Fax: (650) 325-7823.

Date: 9-17-01

  
SANGAMO BIOSCIENCES, INC.  
Name: Peter Bluff  
Title: VP, Corp. Development



Atty Dkt No. 8325-0014  
S14-US1  
PATENT

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 61 - OCTOBER - 2001.

10/1/01  
Date

[Signature]  
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Serial No.: 09/844,508

Group Art Unit: 1645

Filing Date: April 27, 2001

Examiner: Unassigned

Title: TARGETED MODIFICATION OF CHROMATIN STRUCTURE

**CERTIFICATE UNDER 37 CFR 3.73(b)**

SANGAMO BIOSCIENCES, INC., a corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the patent application identified above. A copy of the assignment is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 9-12-01

[Signature]  
SANGAMO BIOSCIENCES, INC.  
Name: Peter Bluford  
Title: Vice President, Corporate Development

Small Entity Determination in the U.S. for the Case Entitled "TARGETED MODIFICATION OF CHROMATIN STRUCTURE" (Atty Dkt No. 8325-0014)

**PLEASE READ AND MAKE THE APPROPRIATE SELECTION**

Small entity according to U.S. Patent Office rules applies to patents owned by inventors, small business concerns with fewer than 500 employees, and non-profit organizations. If there is any assignment of rights or obligation to assign rights to a large entity, i.e. a firm with more than 500 employees, then large entity applies.

☒ According to the above description, Sangamo BioSciences is a small entity in the U.S.  
☐ According to the above description, Sangamo BioSciences is a large entity in the U.S.

Signature: Sean Brennan  
Name: Sean Brennan  
Title: Associate Director IP

Date: 9.17.01

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, street number, and address): (415) 442-0900 W. SCOTT THOMAS, ESQ. (STATE BAR NO. 63597) BROBECK, PHLEGER & HARRISON LLP One Market, Spear Street Tower San Francisco, CA 94105 ATTORNEY FOR (Name): Elizabeth J. Wolffe		TELEPHONE AND FAX NOS.: (415) 442-1810 Fax: (415) 442-1810 FOR COURT USE ONLY <b>FILED</b> AUG 29 2001 CLERK OF THE COURT SUPERIOR COURT OF CALIFORNIA COUNTY OF CONTRA COSTA <i>Emelenides</i>
SUPERIOR COURT OF CALIFORNIA, COUNTY OF Contra Costa STREET ADDRESS: 725 Court St., Room 103 MAILING ADDRESS: CITY AND ZIP CODE: Martinez, CA 94553-1233 BRANCH NAME: ESTATE OF (Name): ALAN P. WOLFFE		DECEDENT CASE NUMBER: <b>P01-01211</b>
LETTERS <input type="checkbox"/> TESTAMENTARY <input type="checkbox"/> OF ADMINISTRATION WITH WILL ANNEXED <input type="checkbox"/> OF ADMINISTRATION <input checked="" type="checkbox"/> SPECIAL ADMINISTRATION		

## LETTERS

- ☐ The last will of the decedent named above having been proved, the court appoints (name):
  - ☐ executor.
  - ☐ administrator with will annexed.
- ☒ The court appoints (name): Elizabeth J. Wolffe
  - ☐ administrator of the decedent's estate.
  - ☒ special administrator of decedent's estate
    - ☒ with the special powers specified in the Order for Probate.
    - ☐ with the powers of a general administrator.
    - ☐ letters will expire on (date):
- ☐ The personal representative is authorized to administer the estate under the Independent Administration of Estates Act ☐ with full authority ☐ with limited authority (no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).
- ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.

## AFFIRMATION

- ☐ PUBLIC ADMINISTRATOR: No affirmation required (Prob. Code, § 7621(c)).
- ☒ INDIVIDUAL: I solemnly affirm that I will perform the duties of personal representative according to law.
- ☐ INSTITUTIONAL FIDUCIARY (name):

I solemnly affirm that the institution will perform the duties of personal representative according to law. I make this affirmation for myself as an individual and on behalf of the institution as an officer.  
 (Name and title):

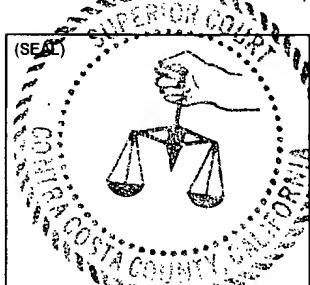
- Executed on (date): 08/29/01  
 at (place): Martinez, California.

*Elizabeth J. Wolffe*  
 (SIGNATURE)

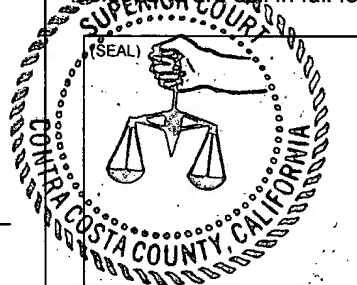
## CERTIFICATION

I certify that this document is a correct copy of the original on file in my office and the letters issued the personal representative appointed above have not been revoked, annulled, or set aside and are still in full force and effect.

WITNESS, clerk of the court, with seal of the court affixed.

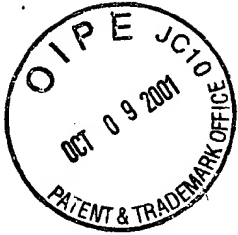


Date: **AUG 29 2001**  
 Clerk, by *Emelenides*  
 (DEPUTY)  
 CLERK OF THE  
 SUPERIOR COURT



Date: **SEP 18 2001**  
 Clerk, by *J. Turner*  
 (DEPUTY)  
 CLERK OF THE COURT





**ESTATE OF ALAN P. WOLFFE  
CONTRA COSTA COUNTY SUPERIOR COURT  
ATTACHMENT 3d(2) TO ORDER FOR LETTERS  
OF SPECIAL ADMINISTRATION**

ELIZABETH J. WOLFFE, is hereby appointed as Special Administrator of the Estate of ALAN P. WOLFFE, with the following special powers:

1. The power to execute patent applications and related documents as personal representative of the decedent;
2. The power to execute stock certificates and related documents as personal representative of the decedent; and
3. The power to take any other actions necessary, as personal representative, to preserve the assets of the estate.